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# Job Description – Chief Operating Officer

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| Employee Type: | Exempt |
| Department: | ESC |
| Job Title: | Chief Operating Officer |
| Reports To: | CEO |
| Manages Others: | No |
| Industry Experience: | 10 years |
| Minimum License(s): | |
| Date: | 08/01/2026 |

## Nature and Scope

The Chief Operating Officer is an executive-level leadership role responsible for the overall effectiveness, scalability, and operational discipline of the firm. The position has broad responsibility for day-to-day business operations, cross-functional execution, operational risk management, process improvement, and the alignment of people, systems, workflows, and controls with the firm's strategic objectives.

This role operates across a highly regulated financial services environment and requires strong judgment, regulatory awareness, and the ability to balance business growth, advisor and client service, operational efficiency, and risk management. The COO works closely with the CEO and executive leadership team to translate firm strategy into actionable operational priorities and ensure those priorities are executed consistently across the organization.

The scope of the position includes direct or indirect oversight of assigned departments, operational leaders, enterprise initiatives, service standards, internal controls, technology-enabled workflows, and operational performance metrics. The COO is expected to identify operational gaps, improve processes, strengthen accountability, support compliance with firm policies and regulatory expectations, and lead change initiatives that improve the firm's ability to serve advisors, clients, and employees.

The position requires frequent collaboration with senior leadership, department heads, technology, compliance, supervision, advisor support, and other business functions. The COO may also represent the firm internally and externally and must exercise executive presence, discretion, professionalism, and sound decision-making in matters that affect the firm's operations, reputation, service quality, and long-term success.

## Position Summary

The Chief Operating Officer is responsible for overseeing the day-to-day operations of the firm and ensuring the organization has the processes, systems, resources, and controls necessary to support advisors, clients, employees, and the firm's long-term strategic goals. This role partners closely with the CEO and executive leadership team to drive operational excellence, enhance cross-functional collaboration, improve scalability, and support a strong culture of accountability, service, and compliance.

The COO serves as a key member of the executive leadership team and provides leadership across core business operations and operational effectiveness.

## Essential Duties and Responsibilities

- Provide strategic and operational leadership across the firm's business functions to ensure efficient, compliant, and scalable operations.
- Partner with the CEO and executive leadership team to execute the firm's strategic plan and translate business objectives into operational priorities.
- Oversee daily business operations and ensure assigned departments are aligned, appropriately resourced, and operating effectively.
- Drive process improvement initiatives to enhance service quality, reduce risk, improve advisor experience, and increase operational efficiency.
- Collaborate with all departments to ensure operational practices support regulatory requirements and firm policies.
- Support the development, implementation, and monitoring of operational policies, procedures, workflows, and internal controls.
- Lead cross-functional initiatives, system enhancements, and operational projects from planning through execution.
- Evaluate business performance, operational metrics, service levels, and risk indicators to identify trends, gaps, and opportunities for improvement.
- Provide leadership and guidance to assigned department leaders regarding operational priorities, execution, accountability, and service standards.
- Support operational change management efforts, including communication, implementation, adoption, and follow-through.
- Partner with technology leadership to ensure systems and tools support business needs, operational scalability, data integrity, and cybersecurity expectations.
- Promote a culture of professionalism, collaboration, service, compliance, accountability, and continuous improvement.
- Represent the firm internally and externally with professionalism and sound judgment.
- Perform other related duties as assigned.

## Leadership Responsibilities

- Provide direct or indirect oversight of assigned departments and operational leaders.
- Set operational expectations, monitor execution, and hold leaders accountable for business results and service standards.
- Foster a collaborative leadership environment that encourages communication, problem-solving, and shared ownership.
- Serve as a trusted advisor to the CEO and executive leadership team on operational and business matters.

## Required Qualifications

- Bachelor's degree in business administration, finance, management, or a related field; advanced degree preferred.
- Minimum of 10 years of progressive leadership experience in financial services, broker-dealer, RIA, wealth management, or a related regulated environment.
- Strong understanding of broker-dealer operations, supervision, compliance, advisor support, and regulatory expectations.
- Demonstrated experience leading teams, departments, or enterprise-level operational functions.
- Proven ability to manage complex projects, improve processes, and lead operational change.
- Strong business judgment, executive presence, and ability to influence across all levels of the organization.

- Excellent communication, decision-making, problem-solving, and relationship-management skills.
- Ability to balance business growth, operational efficiency, service quality, and regulatory risk.
- Strong analytical skills with the ability to use data, metrics, and reporting to drive decisions.
- Ability to work effectively in a fast-paced, highly regulated, and service-oriented environment.

## Preferred Qualifications

- Prior executive leadership experience within an independent broker-dealer, RIA, or hybrid financial services firm.
- FINRA licenses such as Series 7, 24, 63, 65, or 66 preferred, or ability to obtain as required by the firm.
- Experience working with financial advisors, OSJs, branch offices, or independent contractor advisor models.
- Experience with regulatory exams, audit readiness, risk management, or compliance-driven operations.
- Experience leading technology implementation, workflow automation, or enterprise system improvement initiatives.

## Core Competencies

- Strategic Leadership
- Operational Excellence
- Regulatory Awareness
- Change Management
- Cross-Functional Collaboration
- Executive Communication
- Business Judgment
- Process Improvement
- Advisor Service Orientation
- Accountability and Follow-Through
- Risk Management
- Operational Leadership

## Partnership Integrity

- Upholds all Firm and departmental policies, internal controls, and the Firm’s Code of Ethics.
- Actively participates in maintaining a culture of compliance, setting an example through behavior, communication, and decision-making.
- Ensures all applicable state, federal, and industry regulations are followed as they apply to this position.
- Attends required regulatory and/or firm educational meetings and training sessions.
- Supports efforts to cultivate an environment where colleagues and representatives understand and value compliance and operational excellence.